



# ISO 9000

## Lesson 7 ISO Auditing Process

Prepared for NASA  
by OPM and BDM Federal, Inc.

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**Student Notes:**

# Auditing



- **Purpose**
- **Preparation**
- **Internal Auditing**
- **External Auditing**
  - Second Party Audits
  - Third Party Audits

## Student Notes:

## Audit: Definition



- **“A quality audit is a systematic and independent examination to determine whether quality activities and related results comply with planned arrangements and whether these arrangements are implemented effectively and are suitable to achieve objectives.”**

**Student Notes:**

## Preparation for Audit



- **Prepare Employees**
  - Audit Process
  - Information Needed
  - How to Interact with the Auditor - Suggested Behavior
  
- **What the Auditor Looks for**
  - Standards - Documents - Say What You Do
  - Ongoing Operations - Do What You Say
  - Quality Records - Measure What is Done and Fix the Problems

### Student Notes:

A well-documented, well-run organization should be following established procedures as a way of life. Therefore, ideally, there should be no need to “prepare” for an audit. Simply do what is normally done on a daily basis.

## Audit Issues



- **Review the System, Not the People**
- **Have Necessary Documentation Readily Available**
- **Respond Honestly and Concisely**
- **Do Not Volunteer Extra Information**
- **If Not Your Responsibility, Say So and Refer to Proper Area**
- **If You Don't Understand, Ask for Clarification**
- **Don't Worry if Auditor Takes Notes**

### Student Notes:

An experienced auditor should be examining the system and not the people. However, this is done partially by interviewing personnel and employees who should not interpret the audit as an investigation of them personally.

## Internal Auditing

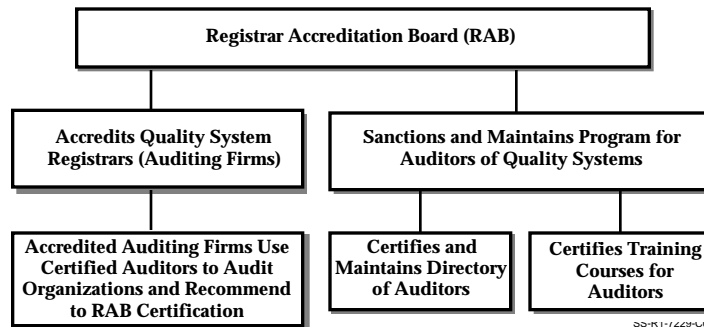


- **Objective**
- **Auditor must Know Standard**
- **Report Must be Issued**
- **Management Must Issue and Follow-Up on Corrective Action**
- **Purpose is to Uncover Deficiencies**

### Student Notes:

Internal auditing has been discussed earlier. It should be emphasized that internal auditing has a much different purpose than third party auditing. An internal audit is performed to aid the organization in discovering and correcting deficiencies. This means that the auditor must know the standard, the audit must be objective and honest, the audit must be reported to management having the authority to initiate corrective action, and corrective action must terminate in closure of the corrective action cycle.

## External Auditing (Third Party)



### Student Notes:

By being certified, suppliers guarantee to customers that they have a system that will deliver to the customer what the customer ordered.

## Conduct of Audit by External Firm



- **Preliminaries**
- **Execution**
  - **Conduct**
  - **Non-conformities**
  - **Daily Reports**
  - **Exit Meeting**
  - **Formal Report**
  - **Corrective Action**

### Student Notes:

The agenda on the above slide, if followed, should lead to no surprises at the exit meeting or in the formal report.

If deficiencies are found, it may be possible for the auditing firm and the supplier to agree on a schedule to correct them. A follow-up audit may then be scheduled before a final report is sent to the RAB.